# SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I have reviewed this plan and have been consulted on its dev	velopment.
Executive's Name (Last, First, MI): Battin, Andrew T	Appraisal Pd. 10/1/15 – 9/30/16
Executive's Signature: Mushely (, Salt)	Date: /2/3/15
Title: Director, E-Enterprise for the Environment	Organization: OCFO
Rating Official's Name (Last, First, MI): Bloom, David A.	CA NC LT/LE
Rating Official's Signature:	Date: 12/4/2015
Part 2. Progress Review	will a negative of the state of
Executive's Signature:	Date: 5/6/2016
Rating Official's Signature:	Date: 5/6/70/
Reviewing Official's Signature (Optional):	Date:
Part 3. Summary Rating (b) (6)	1. 1800年 - 1. 1700年 - 1. 1800年 -
Initial Summary Rating Outstanding Commendable Effective	Needs Unsatisfactory Improvement
Rating Official's Name (Last, First, MI):	p.ovement
Rating Official's Signature:	Date: 11/2/2016
Executive's Signature:	Date: 11/2/2016
Reviewing Official's Signature (Optional):	Date:
Higher Level Review (if applicable)	
☐ I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed	Date:
Higher Level Reviewer Signature:	(b) (6)
Performance Review Bogrd Recommendation	
PRB Chair Signarding All All	
Annual Summary Rating	
Appointing Authority Signature:	Date:
Part 4. Derivation Formula and Calculation of Annual Summary Rating	ulikan kategori 2 ili Belah san di
Element Rating Score	
Final Fina Critical Element Initial (if changed) Weight Initial (if chan	
1. Leading Change (b) (6) 10 (b) (6)	100 M
2. Leading People 20	475-500 = Level 5
3. Business Acumen 10 4. Building Coalitions 10	400-474 = Level 4 300-399 = Level 3
4. Building Coalitions 10 5. Results Driven 50	200-299 = Level 2

# Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from
  mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers,
  or employees. The executive does not meet established performance expectations/timelines/targets and
  fails to produce or produces unacceptable work products, services, or outcomes.

<b>Element Rating I</b>	Level Points	í
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Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

# Critical Element 1. Leading Change

(Minimum weight 5%)

b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

**Rating Official Narrative:** 

(b)(6)

Critical Element Rating - Leading Change

(b) (b)

# Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

**Rating Official Narrative** 

(b) (6)

Critical Element Rating - Leading People

(b) (b)

Appraisal Period: 10/1/15 - 9/30/16

## Critical Element 3. Business Acumen

(Minimum weight 5%)

(b) (6

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

**Agency-Specific Performance Requirements** 

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

**Rating Official Narrative:** 

(b) (6)

Critical Element Rating - Business Acumen

(b) (6)

Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b)(6)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative:

(b) (6)

Critical Element Rating - Building Coalitions

(b) (c

Appraisal Period: 10/01/15 - 9/30/16

## Critical Element 5. Results Driven

(Minimum Weight 20%)

b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

performance requirement specified.			
(b) (6)			
Rating Official Narrative (b) (6)			

Critical Element Rating - Results Driven

(b) (6

xecutive Name ar		Appraisal Period: 10/01/15 – 9/30/16
Critical Element 5.	Results Driven – Overflow page f	or up to 8 more performance requirements; Calibri 10 font required.
		(b) (6)

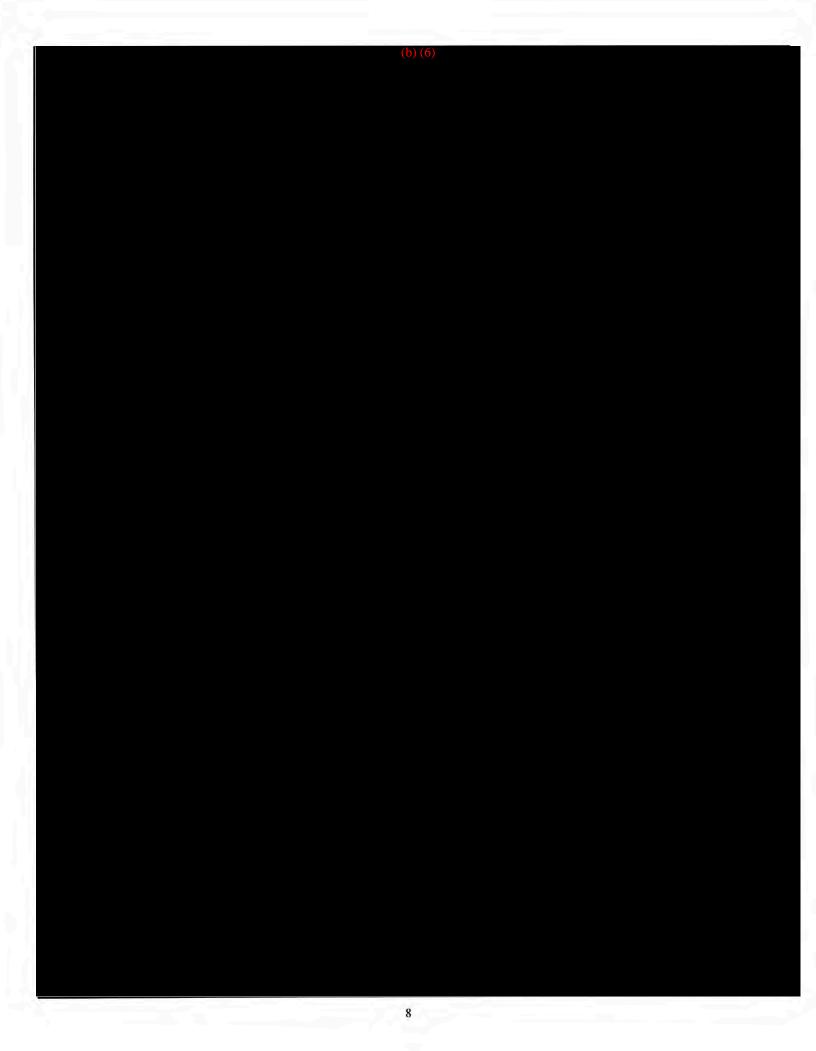
	(b) (6)		
Part 6: Summary Rating Narrative (Mandatory)	Supervisor must provide comme	ent for all ratings	PURE STATE
Part o. Summary Rating Native (Mandatory)	(b) (6)	ant for an ratings.	
	(8)		

Executive Name and ID:

Battin, Andrew T.

Rating Period: 10/1/15 - 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.



	Evocutiv	o Dovolona	oont Plan		
		e Developn			
Employee Name (Last, Battin, Andrew, T	First, MI)		Performance Period	To: 12/31/16	
Long Term	(b) (6)	Short Term	(1) (6)		
Goal:		Goal:			
Career Goals 8	& Development Objective	s S	Specific Develop	ment Activities	
G	oals/Objectives		Activity	Time Frame	
	(b) (6)		-	2015 - 2016	
				2015 - 2016	
				2015 - 2016	
				2015 - 2016	
	Employee		rvisor	Approving Official	
Discussion and/or approval of the Executive	Mulley Sollie	Signature		ignature	
Development Plan.	Date 2/12/15	Date Z / 17 /	15	Pate	

# **Andrew Battin** (b) (6)

# SES Performance Management System Executive Performance Agreement



	reulted on its dayalanment
Part 1. Consultation. I have reviewed this plan and have been co.	
Executive's Name (Last, First, MI): Bloom, David A.	Appraisal Pd. 10/1/15 – 9/30/16
Executive's Signature	Date: 12/23/2015
Title: Deputy Chief Financial Officer	Organization: OCFO
Rating Official's Name (Last, First, MI): MEiburg, A. S.	TANLEY CA NC LT/LE
Rating Official's Signature:	Date: 1/6/2016
Part 2. Progress Review	
Executive's Signature:	Date:
Rating Official's Signature: 1 AAAAAA	Date:
Reviewing Official's Signature (Optional):	Date:
Part 3. Summary Rating	(b) (6)
Initial Summary Rating Outstanding Commendable	Effective Needs Unsatisfactory Improvement
Rating Official's Name (Last, First, MI):	
Rating Official's Signature:	Date: 10/21/2016
Executive's Signature:	Date: 10/21/2016  Date: 10/21/2016
Reviewing Official's Signature (Optional):	Date:
Higher Level Review (if applicable)	
I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed	Date:
Higher Level Reviewer Signature:	(b) (6)
Performance Review Boald Recommendation	
PRB Chair Signature Man Andy	
Annual Summary Rating	
Appointing Authority Signature:	Date:
Part 4. Derivation Formula and Calculation of Annual Summary	y Rating
Element Rating	Score
Final  Critical Element <u>Initial (i</u> f changed) Weight	Final Initial (if changed) Summary Level Ranges
Critical Element Initial (if changed) Weight  1. Leading Change 10	(b) (6)
2. Leading People 20	475-500 = Level 5
3. Business Acumen 10	400-474 = Level 4 300-399 = Level 3
4. Building Coalitions	200-299 = Level 2
5. Results Driven 50	Any CE rated Level 1 = Level 1
Total 100%	

# Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

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# **Element Rating Level Points**

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Bloom, David A.

Appraisal Period: 10/1/15 - 9/30/16

(Minimum weight 5%)

# Critical Element 1. Leading Change

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

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Rating Official Narrative:

Critical Element Rating – Leading Change

(Minimum weight 5%)

# Critical Element 2. Leading People

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Agency-Specific Performance Requirements

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As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative:

Critical Element Rating – Leading People

# Critical Element 3. Business Acumen

(Minimum weight 5%)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

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As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classification

Rating Official Narrative

Critical Element Rating – Business Acumen

# **Critical Element 4. Building Coalitions**

(Minimum weight 5%)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information

Rating Official Narrative:

Critical Element Rating — Building Coalitions

David A. Bloom

Appraisal Period: 10/01/15 - 9/30/16

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

(b) (6)

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

(b) (6)

Part 8: Agency Use

Executive Name and ID: David Bloom

Rating Period: FY 2016

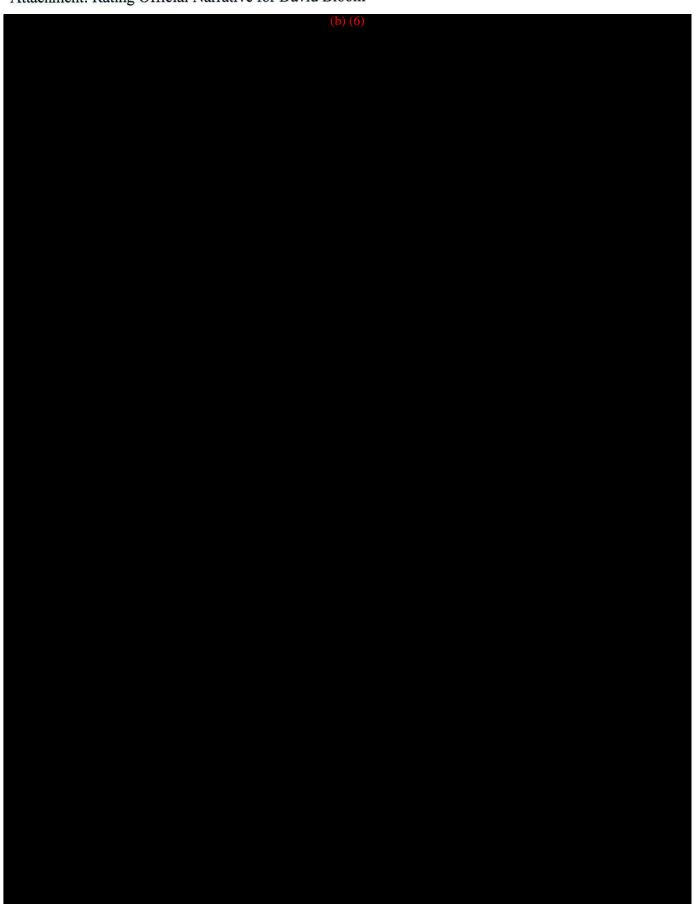
Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)

I Nama	(Lost First MI)			Performance Period		
Bloom, D	(Last, First, MI)			From: 1/01/16	To:	12/31/2017
ong Term Soal:	(b) (6)		Short Term Goal:		(b) (6	
Career Go	oals & Development C	bjectives		Specific Develo	pment A	ctivities
	Goals/Objectives			Activity		Time Frame
		(b) (6)		, and the second		2016 – 2017
						2016 – 2017
						2016
						0047
						2017
						2016 - 2017
		oloyee	//	Supervisor		Approving Official
Discussion ar approval of the Individual De	ne /	3	Signature	tet Del	Signature	
Plan.	10   28		Date /	10	Date	

EPA Form 3140-32 (9-09)

Attachment: Rating Official Narrative for David Bloom



David Bloom (cont'd)



# SES Performance Management System Executive Performance Agreement



Part 1. Consultation.	I have revie	wed this plan	and have been	consulted	d on its develop	ment.
Executive's Name (Las					851 BUILD ANN AC A 980 CC	Appraisal Pd. 10/1/15 – 9/30/16
Executive's Signature: Jane Conclin						Date: Dec 14, 2015
Title: Director, Office	0					Organization: OCFO
Rating Official's Name	(Last, First,	₩H; Bloom, E	David A.			CA NC LT/LE
Rating Official's Signat	ure: ( ~	DO3			-	Date: 12/16/2015
Part 2. Progress Revie	ew	Mar estata		4	mer ny ny ny manana Ny handron	10/208
Executive's Signature:		Opa	ano C	one	0,-	Date: 5/2/2/1/2
Rating Official's Signat	ure:	Dans		014C		Date: 5/16/7016
Reviewing Official's Sig		onal):				Date:
Part 3. Summary Ratio	70.0				(b) (6)	Date.
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Initial Summary Rating	g					
Pating Officially No.	,	() ((			1	mprovement
Rating Official's Name	// /	11): 5424	an Sil	zer		1-1
Rating Official's Signatu		ve of	2	27		Date: ///////
Executive's Signature:	//	50.7	onkli	n		Date: 11/2/16
Reviewing Official's Sig	nature (Optio	onal):		Marianan .		Date:
Higher Level Review (if	f applicable)					- Yesterdamen Admini
I request a higher le	evel review.	Executive's I	nitials:			Date:
Higher Level Review Co	mpleted					Date:
Higher Level Reviewer S	Signature:				(b)	) (6)
Performance Review Bo	oard Recomm	nentiation				
PRB Chair Signatute:		MAL				
Annual Summary Ratin		$\sum_{i}$	7			
Appointing Authority Sig		WAT				
	-		001	V 2066969 8.4		Date:
Part 4. Derivation Form		HARLING THERETON THEOLOGY	nual Summary			The same of the sa
	Eleme	nt Rating Final			Score	
Critical Element	Initial	(if changed)	Weight	Initial	Final (if changed)	Summary Level Ranges
1. Leading Change	3		10		(b) (6)	00000000000000000000000000000000000000
2. Leading People 3. Business Acumen			20			475-500 = Level 5
Building Coalitions	×		10			400-474 = Level 4 300-399 = Level 3
. Results Driven			10 50			200-299 = Level 2
Total			100%			ny CE rated Level 1 = Level 1

# Part 5. Critical Elements

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

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  or employees. The executive does not meet established performance expectations/timelines/targets and
  fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating	Level Points
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Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

(b) (6)

# Critical Element 1. Leading Change

(Minimum weight 5%)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change

# Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative:

(b) (6)

Critical Element Rating - Leading People

(b) (6

Conklin, Jeanne

Appraisal Period: 10/1/15 - 9/30/16

### Critical Element 3. Business Acumen

(Minimum weight 5%)

b) (6)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

**Agency-Specific Performance Requirements** 

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

**Rating Official Narrative:** 

(b) (6)

Critical Element Rating – Business Acumen

(b)(6)

### Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b)(6)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

**Agency-Specific Performance Requirements** 

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

**Rating Official Narrative:** 

(b) (6)

Critical Element Rating - Building Coalitions

(b) (6)

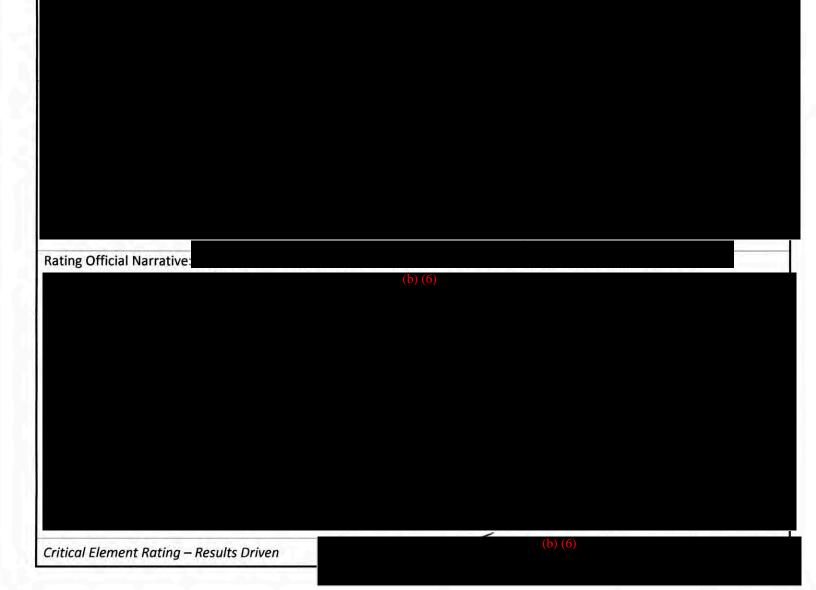
### Critical Element 5. Results Driven

(Minimum Weight 20%)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.



Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

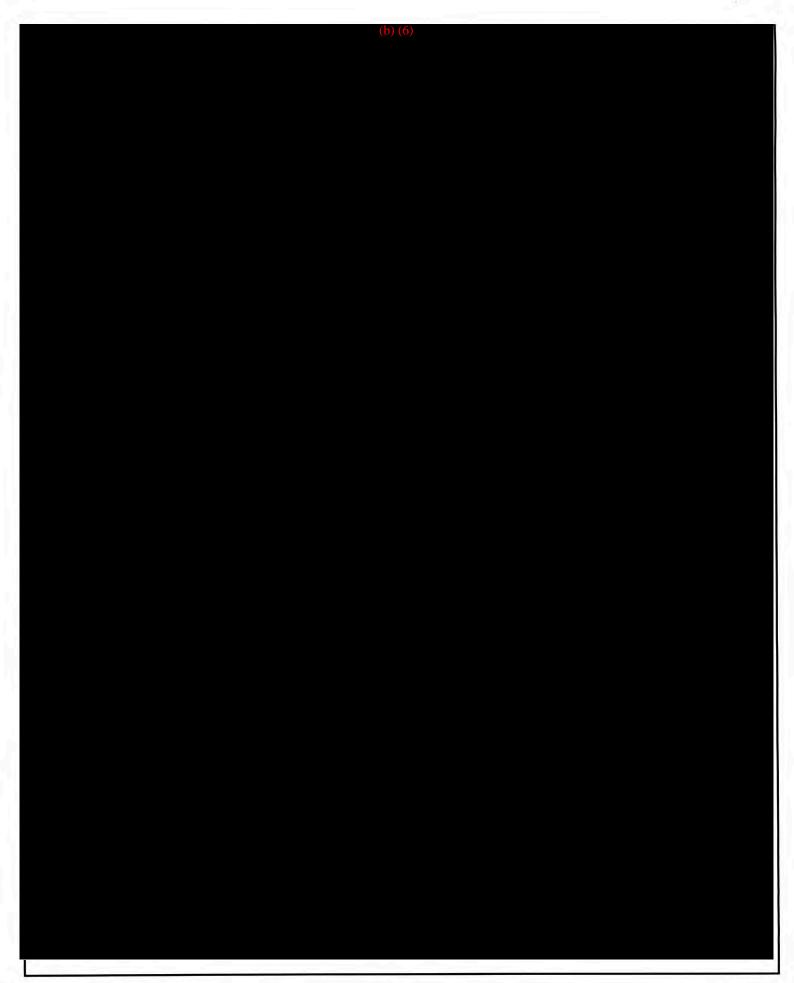
ng Narrative (Mand	(b) (6)		

			3. × × ×

Executive Name and ID: Conklin, Jeanne

Rating Period: 10/1/15 - 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.



Executiv	ve Develo	oment Plan		
Employee Name (Last, First, MI)	Performance Period			
Conklin, Jeanne M	From: 3/01/15	To: 12/31/16		
Long Term Goal:	Short Term Goal:		(b) (6)	
Career Goals & Development Objectives		Specific Deve	lopment Activitie	es
Goals/Objectives	Activity Time Frame			
(b)	(6)			FY2015
				Ongoing  FY2015/2016  Ongoing  FY2015/2016
				Ongoing  FY2015/2016 AGA  Ongoing
Discussion and/or approval of the Executive Development Plan.	Su Signature Date	23	Approving C Signature Date	Official

# SES Performance Management System Executive Performance Agreement



A DEPARTMENT OF THE PROPERTY O	353
Part 1. Consultation. I have reviewed this plan and have been consulted on its develop	oment.
Executive's Name (Last, First, MI): Jones, Quentin	Appraisal Pd. 10/1/15 – 9/30/16
Executive's Signature:	Date: 12/16
Title: Director, Office of Technology Solutions	Organization: OCFO
Rating Official's Name (Last, First, MI): Bloom, David A.	CA NC LT/LE
Rating Official's Signature:	Date: 12/16/2015
Part 2. Progress Review	
Executive's Signature:	Date: 5/18/20/8
Rating Official's Signature:	Date: 5/18/2016
Reviewing Official's Signature (Optional):	Date:
Part 3. Summary Rating (b) (6)	FOR SHIPHAR SHALL WAS STREET, AND THE SHIP SHIP SHIP SHIP SHIP SHIP SHIP SHIP
Initial Community Debins Contact of the Contact of	and affine
Initial Summary Rating Outstanding Commendable Effective	Needs Unsatisfactory Improvement
Rating Official's Name (Last, First, MI):	Improvement
Rating Official's Signature:	Date: 11/7/70/
Executive's Signature:	Date: 11/7/2016
Reviewing Official's Signature (Optional):	Date:
Higher Level Review (if applicable)	Docc.
☐ I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed	Date:
Higher Level Reviewer Signature:	
	) (6)
PRB Chair Signatura Maa LMM	
Annual Summary Rating	
Appointing Authority Signature:	Date:
Part 4. Derivation Formula and Calculation of Annual Summary Rating	Date.
Element Rating Score	
Final Final	
Critical Element Initial (if changed) Weight Initial (if changed)  1. Leading Change 10 (b) (6)	Summary Level Ranges
2. Leading People 20	475-500 = Level 5
3. Business Acumen 10	400-474 = Level 4
4. Building Coalitions 10	300-399 = Level 3
5. Results Driven 50	200-299 = Level 2
Total 100%	Any CE rated Level 1 = Level 1

## Executive Name and ID: Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

## **Element Rating Level Points**

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

### Critical Element 1. Leading Change

(Minimum weight 5%)

o) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:

(b) (6

Critical Element Rating - Leading Change

(b) (6

(Minimum weight 5%)

(b)(6)

Critical Element 2. Leading People

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

**Rating Official Narrative:** 

(b) (6)

(b) (6

Critical Element Rating - Leading People

Executive Name and ID:

Jones, Quentin

Appraisal Period: 10/1/15 - 9/30/16

#### Critical Element 3. Business Acumen

(Minimum weight 5%)

b) (6

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

<b>Rating Official Narrative:</b>				
		(b) (6)		

Critical Element Rating – Business Acumen

(b) (6)

## Critical Element 4. Building Coalitions

(Minimum weight 5%)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

effectively, and share information.	
Rating Official Narrative	
	(b) (6)
	(b) (6)
Critical Flement Ratina — Building Coalitions	

Appraisal Period: FY 2016

#### Critical Element 5. Results Driven

Executive Name and ID:

(Minimum Weight 20%)

b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.



Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

(b) (6)

Quentin X. Jones

art 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.  (b) (6)	xecutive Name and ID:	Quentin X. Jones	Appraisal Period:	FY 2016
(b) (6)	art 6: Summary Rating Na	rrative (Mandatory) Supervisor mus	t provide comment for all ratings.	
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	to Prostin	

Executive Name and ID:

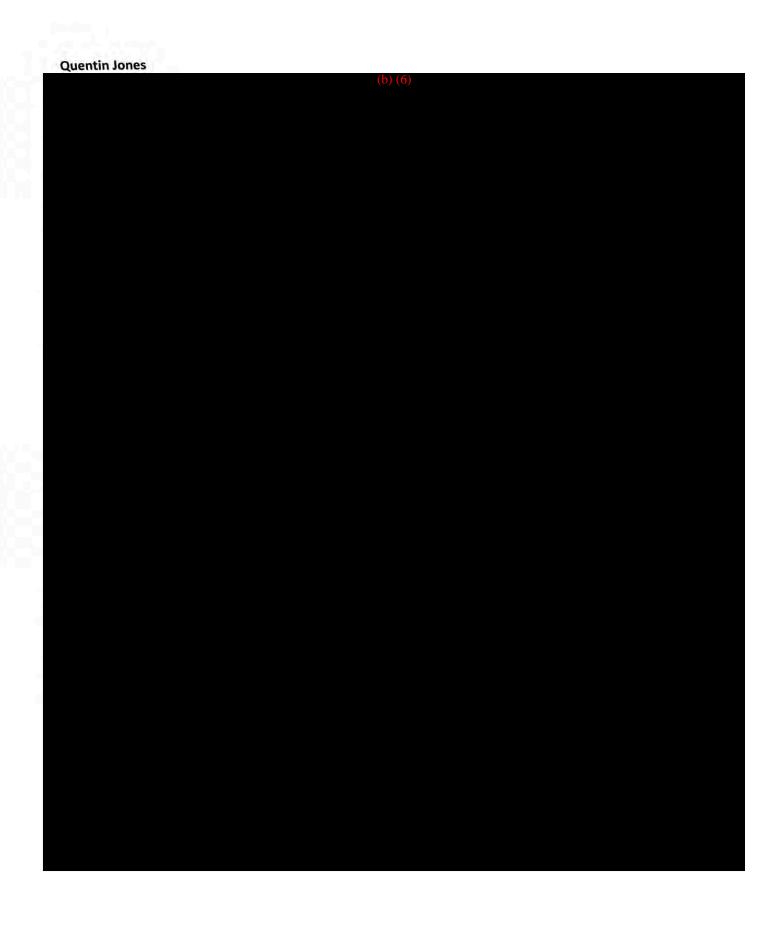
Jones, Quentin

Rating Period: 10/1/15 - 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)

Section E	Senio	r Executive [	Development P	lan	
Employee Name (Last, First	t, MI)	A T - Last Taylor	Performance Period		
Jones,	Quentin X	4	From: 1/1/15	To:	12/31/16
Long Term Goal:	(b) (6)	Short Term Goal:	0	(b) (6)	
	& Development ctives		Specific Develo	pment Activ	rities
Goals/Ol	ojectives		Activity		Time Frame
		(b) (6)			2015-2016
					Ongoing
					2015-2016 Ongoing
					2015-2016 Ongoing
					2015 2015-2016
Discussion and/or	Employee Signature	Signa	Supervisor	A <sub>I</sub> Signature	oproving Official
approval of the Individual Development Plan.	Date 121.8 /M	nf (r	12/15/14	Date	



# SES Performance Management System Executive Performance Agreement



		31.3
Part 1. Consultation. I have reviewed this plan and have been of	consulted on its developn	nent.
Executive's Name (Last, First, MI): O'Brien, Kathleen S.		Appraisal Pd. 10/1/15 – 9/30/16
Executive's Signature: (thus). O Brien		Date: 12/7/2015
Title: Director, Office of Planning, Analysis, and Accountability		Organization: OCFO
Rating Official's Name (Last, First, MH); Bloom, David A.		CA NC LT/LE
Rating Official's Signature:		Date: 12/8/2015
Part 2. Progress Review	in small party with	
Executive's Signature: Jolland OBrien		Date: 5/(/>)(
Rating Official's Signature:		Date: 5/6/2016
Reviewing Official's Signature (Optional):		Date:
Part 3. Summary Rating	(b) (6)	
Initial Summary Rating Outstanding Commendable		Needs Unsatisfactory
Rating Official's Name (Last, First, MI):		mprovement
Rating Official's Signature:		Date: 1/2/2011
Executive's Signature: Cultury of much		Date: 11/3/2016  Date: 11/3/2016
Reviewing Official's Signature (Optional):		Date:
Higher Level Review (if applicable)		Date.
☐ I request a higher level review. Executive's Initials:		Date:
Higher Level Review Completed		Date:
Higher Level Reviewer Signature:		Jute.
Performance Review Board Recommendation	(b)	(6)
PRB Chair Signature MA AM		
Annual Summary Rating		
Appointing Authority Signature:		Date:
Part 4. Derivation Formula and alculation of Annual Summary	Rating	Date.
Element Rating	Score	\$2.5 Sec. 2. A. A. A. 1985 (A. B. Ca. )
Final	Final	
Critical Element Initial (if changed) Weight  1. Leading Change (b) (6) 10	Initial (if changed) (b) (6)	Summary Level Ranges
2. Leading People		475-500 = Level 5
3. Business Acumen 10		400-474 = Level 4
4. Building Coalitions		300-399 = Level 3
5. Results Driven		200-299 = Level 2
Total 100%		Any CE rated Level 1 = Level 1

#### Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
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- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from
  mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers,
  or employees. The executive does not meet established performance expectations/timelines/targets and
  fails to produce or produces unacceptable work products, services, or outcomes.

<b>Element Rating</b>	Level Points
-----------------------	--------------

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

(b) (6)

#### Critical Element 1. Leading Change

(Minimum weight 5%)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

**Rating Official Narrative:** 

(b) (6)

Critical Element Rating - Leading Change

(b) (6

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

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As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion

**Rating Official Narrative:** 

(b) (6

Critical Element Rating - Leading People

(b) (6

Appraisal Period: 10/1/15 - 9/30/16

#### Critical Element 3. Business Acumen

(Minimum weight 5%)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

**Agency-Specific Performance Requirements** 

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

madvertent disclosure o		4.010.1101101	
<b>Rating Official Narrative</b>			
	(b) (6)		
Critical Flement Rating - Business Acumen		(h) (6)	
Critical Floment Ratina - Riisiness Aciimen			

#### **Critical Element 4. Building Coalitions**

(Minimum weight 5%)

(b)(6)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

effectively, and share information.			
Rating Official Narrative:	(b) (6)		
Critical Element Rating – Building Coalitions		(b) (6)	

#### Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

	(b) (6)
Pating Official Narrative	

Rating Official Narrative:		
	(b) (6)	·
Critical Element Rating – Results Driven	(b) (6)	

Executive Name and ID: Kathleen S. O'Brien

Appraisal Period: 10/01/2014 - 9/30/2015

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

(b) (6)

		(b) (6)			
				K	
Part 6: Summary Ratin	g Narrative (Mandato	ory) Supervisor must pr	ovide comment for	all ratings.	
		(b) (b)			
Part 8: Agency Use					

Executive Name and ID:

O'Brien, Kathleen S.

Rating Period: 10/1/15 - 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)



	Executive	e Developn	nent Plan	
Employee Name (Last	, First, MI)		Performance Period	SCHOOL SELECTION
O'Brien Kathleen S.				To: <b>12/31/2016</b>
ong Term Goal:	(b) (6)	Short Term Goal:		6) (6)
Career Goals	& Development Objectives	S	pecific Developme	nt Activities
	Goals/Objectives		Activity	Time Frame
	(b) (6	o)		2015-2016
				2015-2016
				2015-2016
Discussion and/or approval of the	Employee Signature S	Superignature	visor	Approving Official cure
xecutive Development Plan.	Date   D   2014   D	ate   Z / 1Z / 12	Date	

# SES Performance Management System Executive Performance Agreement



				STATES THE STATE OF THE STATES		manufacture of the second seco		31.3
Part 1. Consultation.	I have reviewed	d this plan a	nd have bee	en consulte	d on its dev	elopment.		
Executive's Name (Last	t, First, MI): O	Brien, Kath	leen S.	2017	ere de accionente de la companya de	Appr	aisal Pd.	10/1/15 - 9/30/16
Executive's Signature:	Tall	un A.	O Brien	/		Date	: 12/7	12015
Title: Director, Office	of Planning, A	nalysis, and	Accountabi	ility			nization:	) ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) (
Rating Official's Name	(Last, First, MH)	; Bloom, D	avid A.			саГ	¬ NC □	LT/LE
Rating Official's Signatu	/	203				Date		8/2015
Part 2. Progress Revie	w. Harris P. W.		e de la marco	S. M. Senia				
Executive's Signature:	full	un A 1	Bren	/		Date	5/1	(2011
Rating Official's Signatu	ire: 6	mose	~			Date	5/6/	2016
Reviewing Official's Sig	nat <del>ure (O</del> ption	al):	Contract ()			Date		20,0
Part 3. Summary Ratin	ng				(b) (6)			
Initial Summary Rating	Outstanding	g Coi	mmendable	Effec	tive	Needs		Unsatisfactory
Rating Official's Name (	(Last, E <del>irst,</del> MI):					Improv	ement	
Rating Official's Signatu	/	75				Date:	/	/ .
Executive's Signature:	The state of the s	100					11/31	12016 12016
Reviewing Official's Sign	natura (Ontion	- 10 01 91	new			Date:		2016
		u):				Date:		
Higher Level Review (if	755 ST							
I request a higher le		xecutive's Ir _	nitials:			Date:		
Higher Level Review Co						Date:		
Higher Level Reviewer S	Signature:	0				(b) (6)		
Performance Review Bo	oajd Recomme	dation	A					
PRB Chair Signature	da L	Man	1					
Annual Summary Rating		0						
Appointing Authority Sig	gnature:	NAT	11	v			Date:	
Part 4. Derivation Form	nula and alcul	ation of An	nual Summa	ary Rating	1497.78			
	Element	Rating		3456 35 35 35 35 35	Score			
0		Final			Final	35/45 (1)		
Critical Element  1. Leading Change	Initial (if (b) (f	changed)	Weight 10	Initial (b)	(if chang	ged)	Summary	Level Ranges
2. Leading People			20				475-50	0 = Level 5
3. Business Acumen			10			1		4 = Level 4
4. Building Coalitions			10					9 = Level 3
5. Results Driven			50				200-29	9 = Level 2
Total			100%			Any	CE rated	Level 1 = Level 1

#### Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from
  mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers,
  or employees. The executive does not meet established performance expectations/timelines/targets and
  fails to produce or produces unacceptable work products, services, or outcomes.

Element	Rating	level	Points
Cleinein	Nathing	FEACI	Cilita

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

#### Critical Element 1. Leading Change

(Minimum weight 5%)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative: Critical Element Rating – Leading Change

#### Critical Element 2. Leading People

(Minimum weight 5%)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's Management Directive 715 Report. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative:

Critical Element Rating - Leading People

Appraisal Period: 12/07/15 - 9/30/16

#### Critical Element 3. Business Acumen

(Minimum weight 5%)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative:

Critical Element Rating – Business Acumen

#### **Critical Element 4. Building Coalitions**

(Minimum weight 5%)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

**Rating Official Narrative:** 

Critical Element Rating – Building Coalitions

	4.1		1
Executive	Name	nac c	11.
LXCCULIVE	vallic	anu	ID.

Osborne, Howard K.

Appraisal Period: 12/07/15 - 9/30/16

#### Critical Element 5. Results Driven

(Minimum Weight 20%)

o) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Rating Official Narrative:		
	(b) (6)	

(b	0) (6)
Critical Element Rating – Results Driven	(b) (6)
ecutive Name and ID:	Appraisal Period:
	8 more performance requirements; Calibri 10 font required.
(b <sub>1</sub>	) (6)

	(b) (6)	
Part 6: Summary Rating Narrative (Mandatory) Supervis	sor must provide comment for all ratings.	
	(b) (6)	

Charles on

Executive Name and ID:

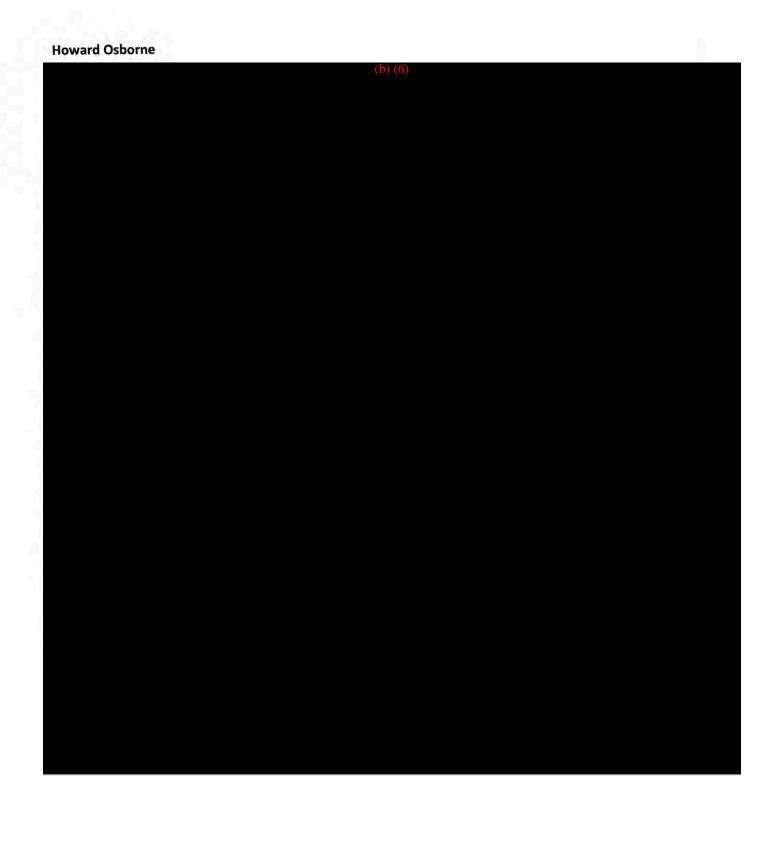
Osborne, Howard K.

Rating Period: 12/07/15 – 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b)(6)

Employee Name (Last, First, MI	Osborne, Hov	ward K.	Performance Period		
			From: Septem	ber 2015 To	September 2016
Long Term Goal:	(b) (6)	Short Term Goal:		(b) (	(6)
Career Goals & De	velopment Objectives		Specific Dev	elopment/	Activities
Goals/	Objectives		Activity		Time Frame
	(b) (6)				2015-2016
					2015-2016
					2015-2016
					2015-2016
					- )
	Employee	S	upervisor		Approving Official
	Signature	Signature	<b>n</b> -	Signature	
approval of the Individual Development	AX.8	( h d	1030		
	Date	Date	0/2015	Date	
		Duto			



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# SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I have reviewed this plan and h	ave been consulted on its develop	ment.
Executive's Name (Last, First, MJ):, Silzer, Stefan		Appraisal Pd, 10/1/15 – 9/30/16
Executive's Signature:	<u> </u>	Date: 12/7/15
Title: Director, Office of Financial Management	-(	Organization: OCFO
Rating Official's Name (Last, First, MI): Bloom, David	A.	CA NC LT/LE
Rating Official's Signature:		Date: 12/8/2015
Part 2. Progress Review		
Executive's Signature:	2	Date: 5/1/16
Rating Official's Signature:		Date: 5/11/2016
Reviewing Official's Signature (Optional):		Date:
Part 3. Summary Rating	(b) (6)	
10 (		
Initial Summary Rating Outstanding Comme	endable Effective	Needs Unsatisfactory
Rating Official's Name (Last, First, MI):		Improvement
Rating Official's Signature		Date: 10/-/1
Executive's Signature:	11	Date: 10/25/16 Date: 10/25/16
Reviewing Official's Signature (Optional):		Date: 10/7-51 16
Higher Level Review (if applicable)		Date.
☐ I request a higher level review. Executive's Initial	s:	Date:
Higher Level Review Completed		Date:
Higher Level Reviewer Signature:	(h	) (6)
Performance Review Board Recommendation		
DDR Chair Signatures		
Annual Summary Rating		
Appointing Authority Signature:		Date:
Part 4. Derivation Formula and Calculation of Annual	Summary Rating	district at a second second
Element Rating	Score	
Final	Final	
(0)(0)	/eight <u>Initial</u> (if changed)	Summary Level Ranges
2. Leading Change 20		475-500 = Level 5
3. Business Acumen 10		400-474 = Level 4
4. Building Coalitions 10		300-399 = Level 3
5. Results Driven 50		200-299 = Level 2
Total 100	9%	Any CE rated Level 1 = Level 1
	CTRO-CONT.	

### Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
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- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

#### **Element Rating Level Points**

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

## Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change

(b) (b

## Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion

Rating Official Narrative:

(b) (6

Critical Element Rating - Leading People

(b) (t

# Critical Element 3. Business Acumen

(Minimum weight 5%)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

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As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations

Rating Official Narrative:

Critical Element Rating - Business Acumen

## Critical Element 4. Building Coalitions

(Minimum weight 5%)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative:

Critical Element Rating – Building Coalitions

(b) (6)

Executive Name and ID: Stefan Silzer Appraisal Period: 10/1/15 - 9/30/16 Critical Element 5. Results Driven (Minimum Weight 20%) Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required. This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2. Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified. Rating Official Narrative:

Critical Element Rating – Results Driven

Executive Name and	d ID: Stefan Silzer	Appraisal Period: 10/1/15 – 9/30/16
Critical Element 5.	Results Driven – Overflow pa	age for up to 8 more performance requirements; Calibri 10 font required.
		(b) (6)
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TURNS BROWN BROWN AND A STORY		
Part 6: Summary Ra	ting Narrative (Mandatory) Su	pervisor must provide
comment for all rati	ngs.	(b) (6)

Executive Name and ID:	Silzer, Stefan	Pating Pariod.	10/1/15 0/05/1-
Part 7: Executive's Accomplishment	Narrative – Executive must provide nar	rative for all Critic	10/1/15 – 9/30/16
nages provided Calib i 10 f	(b) (6)	reare for all Cities	di ciellellis Wilhin tha 7
			2

(b) (6)

	Evacua	ivo Dougla	D'			
implement No.		ive Developr	ment Plan			
Silzer, S	Last, First, MI) Stefan		Performance Period			
ong Term	(b) (6)	To:	From: 1/01/2015	(b) (6)		
Goal:		Short Term Goal:				
areer Goa	ls & Development Objectiv	res s	Specific Develop	ment Activities		
	Goals/Objectives					
	(b) (b)	6)		Time Frame 2015/2016		
				2015/2016		
				2015/2016		
				2015/2016		
				2015/2016		
	// Employee	Supervi	sor	Approving Official		
cussion and/or roval of the cutive	Signature A S	Signature		Approving Official nature		
elopment Plan.	Date /2/8/14	12/12/1	Dat	e		

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### Steve Silzer



# SES Performance Management System Executive Performance Agreement



Dort 1 Consultation I I				STATE PLANNING VENTS	当に3 (株分成分をでも) 日本の表現を図った。
Part 1. Consultation. I have reviewed this plan of	and have beei	n consulted	on its developi	ment.	
Executive's Name (Last, First, MI): Terris, Carol				Appraisal Pd.	10/1/15 - 9/30/16
Executive's Signature: 212				Date: /2/10/	1215
Title: Director, Office of Budget	,			Organization:	OCFO
Rating Official's Name (Last, First, MI): Bloom, D	avid A.			CA NC	LT/LE
Rating Official's Signature:	<u> </u>			Date: 12/1	The state of the s
Part 2. Progress Review					
Executive's Signature:	7			Date: 5/	5/2016
Rating Official's Signature				Date: 5/9	12011
Reviewing Official's Signature (Optional):				Date:	7006
Part 3. Summary Rating		(b) (	6)		to the
					<u> </u>
Initial Summary Rating Outstanding Co	mmendable	Effectiv		Needs	Unsatisfactory
Rating Official's Name (Last, First, MI):			== !	mprovement	
Rating Official's Signature:				Date: 11	ball
Executive's Signature:				Date: 11/7	1006
Reviewing Official's Signature (Optional):				Date:	2016
Higher Level Review (if applicable)				Date.	
I request a higher level review. Executive's I	nitials:			Date	
Higher Level Review Completed	inciais.			Date:	
Higher Level Reviewer Signature:			(b	Date: ) (6)	
Performance Review Board Recommendation					
	4				
PRB Chair Signature Man AMM	1				
Annual Summary Rating					
Appointing Authority Signature:	M		141	Date:	
Part 4. Derivation Formula and alculation of An	nual Summar	y Rating			
Element Rating	2 <del>-2-2311111112-2-2-2-2-2</del> 22	S	core		
Final  Critical Element Initial (if changed)	\4/a:ab4	1-141-1	Final		
Critical Element  1. Leading Change  1. Leading Change	Weight 10	Initial (b) (6)	(if changed)	Summary	Level Ranges
2. Leading People	20			475-50	0 = Level 5
3. Business Acumen	10				4 = Level 4
4. Building Coalitions	10				9 = Level 3
5. Results Driven	50				9 = Level 2
Total	100%			Any CE rated	Level 1 = Level 1

## Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
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- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element	Rating	level	Points
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Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

### Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:

(b) (6)

Critical Element Rating - Leading Change

(b) (6)

#### Critical Element 2. Leading People

(Minimum weight 5%)

(b)(6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

**Rating Official Narrative:** 

(b)(6)

Terris, Carol

Appraisal Period: 10/1/15 - 9/30/16

(b) (6)

#### Critical Element 3. Business Acumen

(Minimum weight 5%)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative:

(b) (6

Critical Element Rating - Business Acumen

(b) (6)

**Critical Element 4. Building Coalitions** 

(Minimum weight 5%)

(b) (6)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

**Rating Official Narrative:** 

(b) (6)

Critical Element Rating - Building Coalitions

(b) (6)

Appraisal Period: 10/1/2015 - 9/30/2016

#### Critical Element 5. Results Driven

(Minimum Weight 20%)

(b)(6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Rating Official Narrative:			
	(b) (6)		
Critical Element Rating – Results Driven	***	(b) (6)	

Executive Name and ID: Carol Terris

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

Appraisal Period: 10/1/2015 - 9/30/2016 (b) (6)

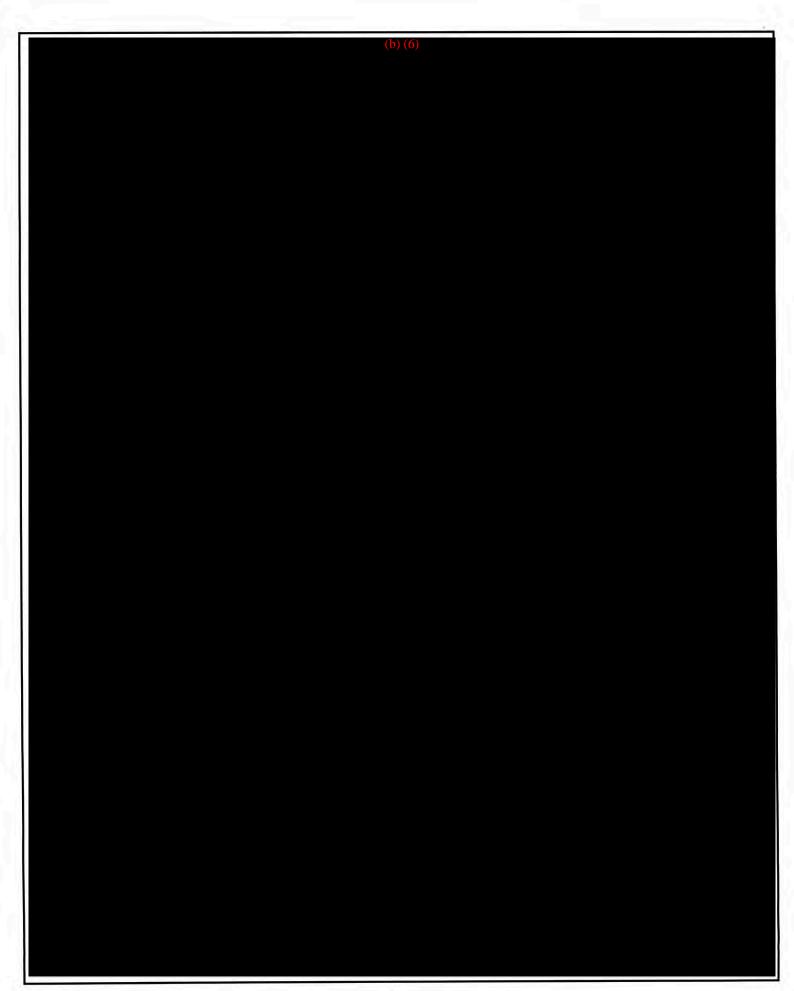
	(b) (6)			
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Part 6: Summary Rating Narrative (Mandatory) Super	rvisor must provide	e comment for all rat	ings.	
	(b) (6)			100000000000000000000000000000000000000

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Terris, Carol

Rating Period: 10/1/15 - 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.
(b) (6)



Section E	Senio	r Executive	Development	Plan		
Employee Name (Last, First	, MI)		Performance Per	iod		
Terris,	Carol		From: 4/1	2/2015	To: 12/31/16	
Long Term Goal:	(b) (6)	Short Term Goal:			(b) (6)	
Career Goals & Object		'F 3	Specific Dev	elopment /	Activities	
Goals/Ob	pjectives		Activit	у		Time Frame
		(b) (6)				2015-2016
						Ongoing
						2015-2016
						Ongoing
						2015-2016
						Ongoing
						2015
						2016
	Employee		Supervisor		Approving (	Official
Discussion and/or approval of the Individual Development	Signature MAS		ature ature	Signa	Signature	
Individual Development Plan.  Date  \$\frac{5}{1\left[2010]}\$	Date	5/1/15	Date	Date		

